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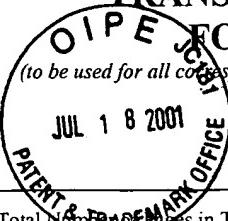
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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	09/826,416
		Filing Date	April 5, 2001
		First Named Inventor	Tatsuya ARAO et al.
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	0756-2293

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers <i>(for an Application)</i>	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Eric J. Robinson, Reg. No. 38,285 Nixon Peabody LLP 8180 Greensboro Drive Suite 800 McLean, VA 22012
Signature	
Date	7-17-01

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:



Type or printed name	Ava M. Dixon
Signature	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of )  
Tatsuya ARAO et al. )  
Serial No. 09/826,416 )  
Filed: April 5, 2001 )  
For: SEMICONDUCTOR DEVICE AND) )  
METHOD OF MANUFACTURING) )  
THE SAME )



) Attention: Applications Branch

**CERTIFICATE OF MAILING**

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The United States Postal Service with sufficient postage as First  
Class Mail in an envelope addressed to: Commissioner for Patents,  
Washington, D.C. 20231, on \_\_\_\_\_

**RESPONSE TO NOTICE TO FILE MISSING PARTS**  
**OF APPLICATION - FILING DATE GRANTED**

Honorable Commissioner for Patents

Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted, under 37 CFR 1.53(b) dated May 18, 2001, submitted herewith is an executed Declaration and Power of Attorney, an English translation of the application and drawings with Declaration and a copy of Notice to File Missing Parts of Application - Filing Date Granted along with the fees under 37 CFR 1.16. (Statutory Basic Filing Fee - \$710, Surcharge - \$130, Translation Fee - \$130, and Additional Claims Fee - \$402).

The above fees are covered by the attached check in the amount of \$1,372.00. Should there be any additional fees required for proper filing of the attached documents, please charge Deposit Account No. 19-2380. Prompt issuance of a filing receipt is respectfully requested.

Respectfully submitted,

  
Eric J. Robinson  
Reg. No. 38,285

NIXON PEABODY LLP  
8180 Greensboro Drive  
McLean, Virginia 22102  
(703) 790-9110



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER															
09/826,416 JUL 18 2001	04/05/2001	Tatsuya Arao	740756-2293															
CONFIRMATION NO. 5035																		
FORMALITIES LETTER																		
 *OC000000006094039*																		
22204 NIXON PEABODY, LLC 8180 GREENSBORO DRIVE SUITE 800 MCLEAN, VA 22102		07/20/2001 BNGUYEN1 00000073 09826416 <table> <tr><td>01 FC:101</td><td>710.00</td><td>OP</td></tr> <tr><td>02 FC:103</td><td>162.00</td><td>OP</td></tr> <tr><td>03 FC:102</td><td>240.00</td><td>OP</td></tr> <tr><td>04 FC:105</td><td>130.00</td><td>OP</td></tr> <tr><td>05 FC:139</td><td>130.00</td><td>OP</td></tr> </table> <span style="float: right;">Date Mailed: 05/18/2001</span>		01 FC:101	710.00	OP	02 FC:103	162.00	OP	03 FC:102	240.00	OP	04 FC:105	130.00	OP	05 FC:139	130.00	OP
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02 FC:103	162.00	OP																
03 FC:102	240.00	OP																
04 FC:105	130.00	OP																
05 FC:139	130.00	OP																

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 970.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

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*A copy of this notice **MUST** be returned with the reply.*

*[Signature]*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>FEE TRANSMITTAL OCTOBER 2001</b>		<i>Complete if Known</i>			
		Application Number		09/826,416	
		Filing Date		April 5, 2001	
		First Named Inventor		Tatsuya ARAO et al.	
		Examiner Name		Unassigned	
		Group Art Unit		Unassigned	
<b>TOTAL AMOUNT OF PAYMENT</b> <i>Patent fees are subject to annual revision.</i>		(\$ 1,412.00)		Attorney Docket No. 0756-2293	

METHOD OF PAYMENT				FEE CALCULATION (continued)																																																																																																																																																																																							
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <span style="border: 1px solid black; padding: 2px;">19-2380</span></p> <p>Deposit Account Name <span style="border: 1px solid black; padding: 2px;">Nixon Peabody LLP</span></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>				<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>130.00</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English transaction</td><td>130.00</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>1131,840*</td><td></td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.29(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>249</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td colspan="2">SUBTOTAL (3) (\$ 300.00)</td></tr> </tbody> </table>				Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	130.00	127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English transaction	130.00	147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	1131,840*		Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00	146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR § 1.29(b))		179	710	249	355	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____				SUBTOTAL (3) (\$ 300.00)	
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SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	Eric J. Robinson	Registration No. (Attorney/Agent)	38,285	Telephone	(703) 790-9770
Signature					Date

Docket No. 740756-2293



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT application of )  
Tetsuo ARAO et al. )  
Serial No. 09/826,416 ) Attn. Applications  
Filed: April 5, 2001 ) Branch  
For: SEMICONDUCTOR DEVICE AND )  
MANUFACTURING METHOD THEREOF )

VERIFICATION OF TRANSLATION

Honorable commissioner of patents and Trademarks  
Washington, D.C. 20231

Sir:

I, Miho Komori, Flat SEL-II 2-C, 1551 Hase, Atsugi-shi, Kanagawa-ken 243-0036  
Japan declare: that I am well acquainted with both the Japanese and English Languages;  
and

that to the best of my knowledge and belief the following is a true and correct  
translation of U.S. Patent Application Serial No. 09/826,416 filed on April 5, 2001.

I further declare that all statements made herein of my own knowledge are true and  
that all statements made on information and belief are believed to be true; and further  
that these statements were made with the knowledge that willful false statements and the  
like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title  
18 of the United States Code, and that such willful false statements may jeopardize the  
validity of the application or any patent issuing thereon.

Date: this 18th day of July, 2001



A handwritten signature in black ink, appearing to read "Miho Komori". The signature is fluid and cursive, with a horizontal line drawn through it.

Name: Miho Komori